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T.; 01212 Winchuck River Road, Brookings, OR 97415 (US). LEVINE, Earl; 1263 College Avenue, Palo Alto, CA 94306 (US).

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(74) Agent: IVEY, James, D.; Law Offices of James D. Ivey, 3025 Totterell Street, Oakland, CA 94611-1742 (US).

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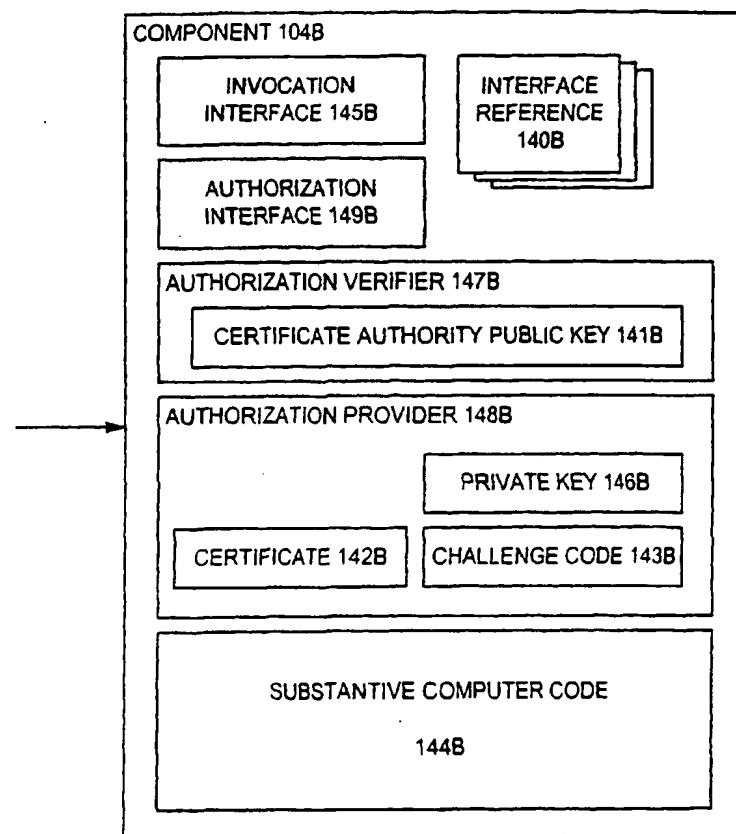
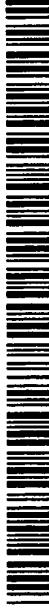
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(71) Applicant: LIQUID AUDIO, INC. [US/US]; 800 Chesapeake Drive, Redwood City, CA 94063 (US).

(72) Inventors: BROWNELL, Jason, S.; 740 Anderson Street, San Francisco, CA 94110 (US). ANSELL, Steven, T.; 302 Umeca Place, Fremont, CA 94539 (US). DEVINE, Perry,

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(54) Title: SECURITY MECHANISM FOR COMPUTER PROCESSING MODULES



**(57) Abstract:** To provide improved security in adjunct program modules such as plug-ins and dynamic link libraries, a requesting module provides an authorization interface to the invoked module such that the invoked module can require a certificate of the requesting module and can also challenge the authority of the requesting module. The certificate can include one or more permissions which are prerequisites for processing by the invoked module. The invoked module can challenge the authority of the requesting module by sending random test data to the requesting module and receiving in response a cryptographic signature of the test data. By verifying the signature of the requesting module using the received certificate, the invoked module confirms that the requesting module is, in fact, the owner of the receive certificate.

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**SECURITY MECHANISM FOR COMPUTER PROCESSING MODULES****SPECIFICATION****BACKGROUND OF THE INVENTION**

Computer programs are currently made extensible and efficient by the use of adjunct program modules such as plug-ins and dynamic link libraries. Plug-ins are computer program modules which can alter the behavior of a computer program without changing the computer program itself. A common example of plug-ins are those associated with currently ubiquitous web browsers. Briefly, a web browser is a computer program by which a user retrieves multimedia documents and information through that portion of the Internet known as the World Wide Web. Installation of plug-ins allow modification of the behavior of the web browser without re-installing or otherwise changing the computer instructions of the web browser itself. One example of such extended functionality is the embedded display of images of the Tagged Image File Format (TIFF). Such functionality is not provided by some web browsers currently, but installation of certain plug-ins add that functionality. To use the plug-in, applications such as web browsers are designed to look for installed plug-ins and, if installed, invoke execution of those plug-ins upon activation of a particular function or activity.

Plug-ins can sometimes be implemented as dynamic link libraries. Dynamic link libraries can be used for other purposes as well. A dynamic link library is a collection of program modules which are generally not loaded until invoked by another program. The following example will illustrate. Consider a web browser which provides a spell-checking capability for forms data entry. A web browser is typically a resource-intensive program such that a considerable amount of memory is used when the web browser is executing. A spell-checker can also be resource-intensive. By implementing the spell-checker as part of a dynamic link library, execution of the web browser does not immediately load the spell-checker into memory. Accordingly, the resources required for the spell-checker are not immediately consumed. Instead, the spell-checker is loaded for execution only when a user requests a spell checking function of the web browser. Such allows the web browser to execute more efficiently when the spell-check function is not invoked.

For reasons pertaining both to extensibility and efficiency, adjunct program modules such as plug-ins and modules of dynamic link libraries are quite popular. An additional factor in the popularity of such adjunct program modules is the simplicity with which they are implemented. To facilitate the use of adjunct processing modules, such modules are designed to be very easily identified and invoked. Virtually no safeguards are used to ensure only a specifically authorized computer program invokes execution of a particular adjunct program module.

The lack of security in adjunct program modules is a significant problem. The following example is illustrative. Consider that a computer user has collected a number of musical songs in the ubiquitous and renowned MP3 digital format and plays the songs on a computer using an MP3 player program. Consider further that the user has purchased and downloaded a number of songs in a secure, copy-protected format but wishes to play those songs along with the other songs in the MP3 format. The MP3 player program can be augmented with a plug-in adjunct program module to decode and play the secure, copy-protected format. Such an adjunct program module, when requested, can decode the secure, copy-protected music and produce un-secured, un-protected music for reproduction through the computer's sound logic and loudspeakers.

However, due to the accessibility of conventional adjunct program modules, any program could request decoding of the secure, copy-protected music data by the decoding adjunct program module. Accordingly, a cracker could write a simple program to request decoding from the adjunct program module and to re-write the decoded music in the MP3 format. The resulting MP3 music data file could have identical sound quality and could be distributed worldwide through the Internet without any encryption security or copy-protection. Such would represent a catastrophic failure of the secure, copy-protected format decoded by the adjunct program module.

What is therefore needed is a security mechanism by which adjunct program modules can limit service to authorized program modules. Such would enable security-reliant computer processes to avail themselves of the benefits and advantages of adjunct program modules.

#### SUMMARY OF THE INVENTION

In accordance with the present invention, an adjunct program module can require a

certificate from a requesting program module to authenticate the requesting program module as authorized to request processing by the adjunct program module. The adjunct program module only performs requested processing when the certificate received from the requesting program module indicates that the requesting program module is authorized to request such processing. In this way, processing is not performed when requested by an unauthorized program module and security is significantly enhanced.

The interface of the adjunct program module indicates that the adjunct program module requires an authorization interface of the requesting program module. The authorization interfaces specifies the manner in which the invoked adjunct program module can request authorization. The use of an authorization interface allows increased flexibility in the implementation of authorization protocols according to the present invention. If the invoked adjunct program module requires a certificate for authentication, the invoked adjunct program module requests, and receives, the certificate from the requester using the requester's authorization interface.

There are a number of ways in which the certificate can be validated as indicating that the requesting program module is authorized to request such processing. The certificate is cryptographically signed by a certificate authority and verification of that signature ensures that no entity has tampered with the certificate, perhaps to alter the identity of the owner of the certificate or to add permissions to the certificate. Failure to validate the certificate authority's signature results in refusal to perform the requested processing.

The received certificate only authorizes processing by the owner of the certificate. The received certificate identifies its owner. If the program module requesting processing is not the owner of the certificate, the adjunct program module refuses to perform the requested processing. The owner's identity can be verified using a challenge-response protocol. In addition, the certificate expires at a predetermined time, and the adjunct program module refuses to perform the requested processing if the certificate has expired.

The certificate also includes a number of permissions. Each permission includes data which is associated with one or more types of actions which are authorized by the certificate. The adjunct program module can be configured to perform processing only when the received certificate includes a specific, predetermined permission. The use of permissions adds a significant degree of flexibility in the security protocol described

herein. For example, a particular permission could grant its owner the authority to examine parts of a secure, copy-protected audio signal, such as the title and artist of the audio signal, without granting authority to the decoded, un-secured, un-protected audio data stream.

As mentioned above, the identity of the requester as the owner of the certificate can be challenged. Thus, stealing a certificate of, and masquerading as, an authorized requesting program module is insufficient. The challenge response mechanism according to the present invention verifies that the requesting module has access to a private key associated with the certificate.

To challenge the authority of the requesting module, the adjunct program module randomly produces test data and requires that the requester cryptographically processes the test data as a precondition to performing processing requested by the requester. The cryptographic processing by the requester involves asymmetric key encryption and use by the requester of the requester's private key. Requiring cryptographic use of the requester's private key establishes that the private key of the requester matches the public key of the requester's certificate and therefore confirms the requester's identity and authority.

Individually, each of these individual security mechanisms can be used by the adjunct program module to significantly deter unauthorized use of adjunct program modules. The described security mechanisms can also be combined to provide a tremendous deterrence to unauthorized use of adjunct program modules over conventional adjunct program module interfaces.

#### BRIEF DESCRIPTION OF THE DRAWINGS

Figure 1 is a block diagram of an application and two program modules which use certificates to authorize processing in accordance with the present invention.

Figure 2 is a block diagram of a computer system in which the application and adjunct program modules of Figure 1 execute.

Figure 3 is a block diagram of a certificate of Figure 1 in greater detail.

Figure 4 is a logic flow diagram of a secure adjunct program interface in accordance with the present invention.

Figure 5 is a logic flow diagram of the certificate verification of Figure 4 in greater detail.

Figures 6A-B are a logic flow diagrams of respective embodiments of a challenge-response authentication interface in accordance with the present invention.

#### DETAILED DESCRIPTION OF THE INVENTION

In accordance with the present invention, a security protocol is implemented between an application 102 (Figure 1) and a component 104A and between component 104A and a component 104B. Components 104A-B are adjunct program modules which are loaded and executed separately from application 102 and from each other but execution of which can be requested for application 102 or other components. In this illustrative embodiment, components 104A-B are modules of one or more dynamic link libraries (DLLs). The very nature of adjunct program modules suggests that execution of adjunct program modules by other program modules is both easy and straight-forward. However, because of security protocols described herein, adjunct program modules can be used to perform tasks in which security is required.

Application 102 and components 104A-B are each all or part of one or more computer processes executing within computer system 200 (Figure 2). Computer system 200 includes one or more processors 202 and a memory 204 which can include randomly accessible memory (RAM) and read-only memory (ROM) and can include generally any storage medium such as magnetic and/or optical disks. Memory 204 and processors 202 interact with one another through an interconnect 206.

A user interacts with computer system 200 through one or more input/output (I/O) devices 208 which can include, for example, a keyboard, an electronic mouse, trackball, tablet or similar locator device, an optical scanner, a printer, a CRT or LCD monitor, a sound card, a microphone, one or more loudspeakers, and/or a network access device through which computer system 200 can be connected to a computer network. To facilitate understanding of the inter-operation of the elements of computer system 200 according to this illustrative embodiment, the illustrative example of playback of secured and copy-protected audio data is continued. Under control of a user, e.g., through physical manipulation of one or more of I/O devices 208, application 102 and components 104 collectively decode the secured, copy-protected audio data to produce raw audio data for playback through one or more of I/O devices 208 such as a sound card and loudspeakers. While computer system 200 is shown to be a single computer system, it is appreciated that application 102 and/or one or more of components 104 can be distributed over multiple

computer systems which are interconnected to perform the functions described herein.

Furthering the illustrative example of decoding and playing back secured, copy-protected audio data, such decoding is performed by one of components 104, e.g., component 104B (Figure 1). To accomplish such decoding, application 102 requests execution of component 104A which in turn requests execution of component 104B. In this illustrative example, component 104A verifies authorization of the user to access the secured audio data prior to requesting decoding of the secured audio data by component 104B. Since component 104B decodes secured audio data and returns the raw audio data in this illustrative example, it is desirable that component 104B ensures that such decoding is performed only for duly authorized requesters, e.g., component 104A and/or application 102.

As shown in Figure 1, component 104B includes substantive computer code 144B which, in this illustrative example, decodes secured, copy-protected audio data and produces raw audio data when executed. Substantive computer code 144B includes computer instructions and data which collectively specify the behavior of component 104B. Component 104A includes substantive computer code 144A which is analogous to substantive computer code 144B of component 104B. Substantive computer code 124 of application 102 is also analogous to substantive computer code 144A-B. Of course, substantive computer code 124 and 144A can specify a different behavior than that specified by substantive computer code 144B.

Application 102 includes interface references 120, each of which identifies an interface which in turn specifies a manner in which application 102 interacts with an adjunct program module such as component 104A. Component 104A includes an invocation interface 145A which specifies a manner in which execution of component 104A is invoked. To request processing by component 104A, application 102 must first acquire access to invocation interface 145A. Application 102 requests, and component 104A provides, a reference to invocation interface 145A which application 102 stores in interface references 120 and subsequently uses to request processing from component 104A.

Component 104A also includes one or more interface references 140A each of which identifies an interface which in turn specifies a manner by which component 104A can invoke execution of other components such as component 104B. Component 104B

includes invocation interface 145B and interface references 140B which are analogous to invocation interface 145A and interfaces 140A, respectively, of component 104A.

To facilitate the security protocol described herein, each application and component can include an authorization interface. For example, application 102 includes authorization interface 129 which specifies the manner in which another program module can request authentication of application 102. Components 104A-B similarly include authorization interfaces 149A-B, respectively.

Application 102 also includes an authorization provider 128 which includes computer instructions and data which specify the behavior of application 102 when authentication is requested in accordance with authorization interface 129. Components 104A and 104B similarly include authorization providers 148A and 148B, respectively.

To authenticate a requesting program module, an adjunct program module can request a certificate of the requesting program module. In response, the authorization provider of the requesting program module supplies a certificate of the requesting program module. For example, application 102 includes a certificate 122, component 104A includes a certificate 142A, and component 104B includes a certificate 142B. While each certificate is shown to be included within each application or component, each certificate can alternatively be stored in memory 204 (Figure 2) separately from the associated application or component of the certificate. For example, certificate 122 can be stored within memory 204 separately from application 102. Such facilitates replacement of expired certificates or replacement of a certificate with another, e.g., to change the permissions of the certificate.

Certificates are well-known and are described herein for completeness. However, full appreciation of certificates requires a basic understanding of asymmetric encryption which is also well-known and which is also described herein for completeness. The simplest of encryption techniques uses the same key for encryption and decryption. Encryption scrambles data from its original, native form to a scrambled, apparently undecipherable form. Decryption recovers the original data from the scrambled, apparently undecipherable form. Symmetric key encryption can be satisfactory for secure archival in which the person who is likely to want to decrypt the data is the same person who encrypted the data in the first place. However, when one party wishes to encrypt data for secure transport to another party, symmetric key encryption requires that the key is

somehow transported as well, compromising security and/or representing a significant inconvenience.

Asymmetric key encryption uses pairs of reciprocal keys. The keys are reciprocal in that encryption by one key of the pair can only be undone by decrypting using the other key of the pair. Asymmetric key encryption is sometimes referred to as public key encryption because one key of a pair of reciprocal keys is held in strict secrecy and privacy while the other key of the pair is distributed publicly within the system of intended use of the public key. The system of intended use can be as large or larger than the Internet and can be as small as a single computer. Data can be encrypted for transport to a receiving party by encrypting the data using the public key of the receiving party. Thus, only the private key of the receiving party can decrypt the data.

Public key encryption also permits cryptographic signatures of data. To sign a collection of data, a party uses its private key to encrypt the data or, alternatively, to form a hash of the data such that the data is still available in cleartext form without verification of the signature. The data can be decrypted – or alternatively the hash can be verified – using the public key of that party. Since the public key is widely and publicly distributed within the system of intended use, the data is not secure when encrypted in this manner. However, successful decryption of the data using the party's public key verifies that it was encrypted by the party using its private key and therefore verifies the authenticity of the data as originating with the signing party. Such a cryptographic signature can be used to verify that noone has tampered with the data after the data was cryptographically signed.

One issue with verifying cryptographic signatures is verification that a particular public key belongs to a particular party. For example, a cryptographic signature from a trusted party is only as reliable as the certainty that the public key used to verify the signature is truly from the trusted party and not some imposter. A certificate binds a public key to a particular party. Generally, a certificate includes a public key and data identifying the owner of the public key. The certificate is signed by a trusted certificate authority which is typically an organization that is widely trusted to issue certificates. The cryptographic signature of the certificate authority ensures that noone has tampered with the certificate after its issuance.

Certificate 122 (Figure 1) is shown in greater detail in Figure 3 and is illustrative. Certificates 142A-B (Figure 1) are analogous to certificate 122 and the following

description of certificate 122 in the context of Figure 3 is equally applicable to certificates 142A-B.

Certificate 122 (Figure 3) includes a public key 302 and an owner field 304. Owner field 304 stores data identifying application 102 (Figure 1) as the owner of certificate 122. Public key 302 (Figure 3) is a public key of application 102 (Figure 1). Certificate authority field 306 (Figure 3) stores data identifying the certificate authority which issued certificate 122. Expiration field 308 stores data specifying a time after which certificate 122 is no longer valid.

Certificate 122 includes a number of permissions 310. Each of permissions 310 includes data specifying one or more types of actions which are permitted for the owner of certificate 122, e.g., application 102 (Figure 1). Permissions 310 are used in a manner described more completely below to limit the types of actions adjunct program modules can perform at the request of application 102. Certificate 122 is cryptographically signed by the certificate authority to prevent tampering.

Logic flow diagrams 400A-B (Figure 4) illustrate an adjunct program module interface with enhanced security in accordance with the present invention. Logic flow diagram 400A illustrates processing by a requesting application or a requesting adjunct program module, and logic flow diagram 400B illustrates processing by an invoked adjunct program module. In particular, an invoked adjunct program module, e.g., component 104B, includes an authorization verifier, e.g., authorization verifier 147B, which verifies authority of the requesting program module prior to performing the requested processing. In the context of logic flow diagrams 400A-B, the requesting application or adjunct program module is sometimes referred to as the requester. In the illustrative example of Figure 1, the requester can be application 102 and the invoked adjunct program module can be component 104A. Alternatively, the requester can be component 104A and the invoked adjunct program module can be component 104B.

In step 402 (Figure 4), the requester invokes the invoked adjunct program module in a conventional manner sending a number of parameters and an authorization interface. The parameters required by the invoked adjunct program module are specified by the invocation interface of the invoked adjunct program module. In this illustrative example, component 104B (Figure 1) is the invoked adjunct program module and invocation interface 145B specifies the parameters required for proper execution of substantive

computer code 144B. Each such required parameter is data to be supplied by the requester, e.g., component 104A in this illustrative example.

The required parameters can include the authorization interface of the requester, e.g., authorization interface 149A. The required parameters can also, or alternatively, require an authorization interface of a requester of the requester. In this illustrative example, invocation interface 145B can require the authorization interface of application 102, e.g., authorization interface 129, in lieu of or in addition to the authorization interface of the requester, e.g., authorization interface 149A of component 104A.

In step 452, component 104B (Figure 1) receives the parameters and authorization interface. In step 454, authorization verifier 147B (Figure 1) of component 104B requests and receives the certificate of the requester, e.g., certificate 142A, using the received authorization interface. In step 404, the authorization provider of the requester, e.g., authorization provider 148A, receives the request for the certificate and sends the certificate.

In test step 456 (Figure 4), authorization verifier 147B (Figure 1) determines whether the certificate authorizes processing in a manner described more completely below. If so, component 104B proceeds with processing according to substantive computer code 144B in step 458 (Figure 4). Conversely, if the certificate does not authorize processing, component 104B produces an error message as the results of processing in step 460. In step 462, component 104B sends the results, either from step 458 or from step 460, to the requester. In step 406, the requester receives the results from the invoked adjunct program module.

As described above, authorization verifier 147B verifies that the received certificate authorizes processing in test step 456. Test step 456 is shown in greater detail as logic flow diagram 456 (Figure 5). In step 502, authorization verifier 147B (Figure 1) verifies the signature of the certificate authority of the received certificate. In this illustrative example, the certificate received by authorization verifier 147B in step 454 (Figure 4) is certificate 122 (Figures 1 and 3). In other examples, the received certificate can be certificate 142A (Figure 1) or another certificate.

The certificate authority of certificate 122 (Figure 3) is identified by certificate authority field 306. To verify the signature of certificate 122, authorization verifier 147B (Figure 1) uses a certificate authority public key 141B. Since the public key is widely and

publicly distributed within the system of intended use, application 102 and components 104A-B all include copies of the public key of the certificate authority or otherwise have access to a copy. In test step 504 (Figure 5), authorization verifier 147B determines whether the signature of the certificate authority is verified. If so, processing transfers to test step 506.

In test step 506, authorization verifier 147B (Figure 1) determines whether certificate 122 has expired by reference to a date and time represented by expiration field 308 (Figure 3). If the certificate has not expired, processing transfers to step 508.

In step 508, authorization verifier 147B challenges the requester to verify the identity of the requester. As described above, the requester can have directly or indirectly requested processing by component 104B. The manner in which the requester is challenged and responds is described more completely below. In test step 510, authorization verifier 147B determines whether the requester responded properly to the challenge. If so, processing transfers to test step 512.

In test step 512, authorization verifier 147B determines whether the certificate in question includes one or more required permissions. In particular, component 104B performs processing only when a certificate grants the direct or indirect requester permission for such processing. Thus, component 104B is configured to perform requested processing only when a supplied certificate includes one or more requisite permissions. Accordingly, authorization verifier 147B of component 104B, in test step 512, searches permissions 310 (Figure 3) for the one or more requisite permissions.

If all requisite permissions are found in the supplied certificate, processing transfers to terminal step 514 in which authorization verifier 147B of component 104B determines that the supplied certificate authorizes processing at the request of the requester. Conversely, if (i) one or more requisite permissions are not found in the supplied certificate (test step 512) or (ii) the requester responds improperly to the challenge (test step 510) or (iii) the supplied certificate has expired (test step 506) or (iv) the certificate's signature by the certificate authority is not verified (test step 504), processing transfers to terminal step 516 in which authorization verifier 147B of component 104B determines that the supplied certificate does not authorize processing at the request of the requester.

Thus, an attempt to request processing by component 104B from an unauthorized

program module is prevented. Consider for example that component 104B decoded secure and copy-protected audio data for playback and produced therefrom uncompressed, cleartext, digital audio signals. Component 104B can require authentication of both component 104A as a direct requester and application 102 as an indirect requester. Any other module attempting to use component 104B to decode and decrypt such audio signals would have to produce a certificate identifying itself, having the proper permissions (test step 512), and signed by a certificate authority (test step 504). In addition, the imposter module would have to correctly respond to a challenge of the imposter's authority in steps 508-510. Each of these mechanisms provides security well beyond any security provided by conventional adjunct program modules.

The challenge-response authentication of steps 508-510 is shown more completely as logic flow diagram 508 (Figure 6A) and processing by the requester in response to the challenge is illustrated by logic flow diagram 600. An alternative embodiment of step 508 is shown as logic flow diagram 508B (Figure 6B) and is described more completely below.

Processing according to logic flow diagram 508 (Figure 6A) begins with step 602 in which authorization verifier 147B of component 104B generates random or pseudo-random data. In step 604 (Figure 6A), authorization verifier 147B (Figure 1) sends the random data to the requester associated with the certificate in question. As described above, the requester can be a direct requester such as component 104A or an indirect requester such as application 102. In this illustrative example, the challenged requester is component 104A.

Component 104A includes challenge code 143A which includes computer instructions and data which collectively specify a behavior of authorization provider 148A of component 104A in response to a challenge such as that initiated by component 104B in step 604 (Figure 6A). Processing in accordance with challenge code 143A is illustrated by logic flow diagram 600. In step 652, authorization provider 148A receives the random data. In step 654, authorization provider 148A cryptographically signs the random data using private key 146A (Figure 1). Private key 146A is the reciprocal key to the public key included in certificate 142A. In step 656, authorization provider 148A sends the signed random data, or alternatively a hash signature of the random data, to component 104B as the response to the challenge.

In step 606, authorization verifier 147B receives the decrypted random data. In test

step 608, authorization verifier 147B verifies the signature of the random data using the public key of the certificate in question. If the received signature is verified, authorization verifier 147B establishes that the requester responded properly to the challenge, thus proving that the requester has the private key associated with the supplied certificate. Conversely, if the received signature is not verified, authorization verifier 147B establishes that the requester did not respond properly to the challenge and therefore may not have the associated private key. Thus, as a precondition for processing as requested, component 104B can require both authentication in the form of a certificate and evidence that the requester has the associated private key in the requester's possession. Such represents a high level of security against unauthorized requests for processing by adjunct program modules.

An alternative challenge-response protocol is shown in logic flow diagrams 600B (Figure 6B) and 508B in which processing begins with step 622. In step 622, authorization verifier 147B generates random or pseudo-random data. In step 624, authorization verifier 147B encrypts the random data using the public key of the certificate. In step 626, authorization verifier 147B (Figure 1) sends the encrypted random data to the requester associated with the certificate in question.

In step 672, authorization provider 148A (Figure 1) receives the encrypted random data. In step 674 (Figure 6B), authorization provider 148A (Figure 1) decrypts the encrypted random data using private key 146A. Successful decryption of the encrypted random data establishes possession of private key 146A and therefore establishes proper ownership of certificate 142A received by component 104B. In step 676 (Figure 6B), authorization provider 148A (Figure 1) sends the decrypted random data to component 104B as the response to the challenge.

In step 628 (Figure 6B), authorization verifier 147B (Figure 1) receives the decrypted random data. In test step 610, component 104B compares the received decrypted random data with the original random data. If the received decrypted random data matches the original random data, component 104B establishes that the requester responded properly to the challenge. Conversely, if the received decrypted random data is different from the original random data, component 104B establishes that the requester did not respond properly to the challenge.

A number of advantages are realized by interposing an authorization interface

between the invoked adjunct program module and the requesting program module. One such advantage is a significant degree of flexibility in implementing the security protocol described herein. The following example is illustrative. Consider that application 102 invokes component 104B directly and that later component 104A is interposed between application 102 and component 104B. Such is possible with very little modification, if any, to application and component 104B. Component 104B can still require certificate 122 of application 102 and can require proper challenge-response from application 102.

Specifically, application 102 invokes component 104A and provides authorization interface 129. Component 104A subsequently invokes component 104B and provides authorization interface 149A. Without modification, authorization verifier 147B expects to receive certificate 122 of application 102 and preconditions proper response to a challenge by application 102 in the manner described above. Accordingly, authorization verifier 147B requests a certificate using authorization interface 149A.

Authorization provider 148A receives the request for a certificate. However, since component 104B is constructed with the knowledge that component 104B expects to interact directly with application 102, authorization provider 148A requests and receives certificate 122 from application 102 using authorization interface 129 and passes certificate 122 to authorization verifier 147B. Accordingly, authorization verifier 147B receives the expected certificate.

Similarly, authorization provider 148A can forward authority challenges from authorization verifier 147B to authorization provider 128 and can forward associated responses from authorization provider 128 to authorization verifier 147B and thus preserve the authentication verification between application 102 and component 104B.

The flexibility afforded by the use of authorization protocols enables countless other possibilities. For example, authorization provider 148A can require authority verification by authorization verifier 147A and authorization provider 128 as a prerequisite to providing a required certificate to authorization verifier 147B. In addition, authorization provider 148A can include multiple certificates, each with different permissions and can provide a specific one of the certificates depending upon various circumstances.

Another advantage of using authorization interfaces is that the behavior of an authorization provider can be subsequently modified without requiring modification of

other elements of a particular program module.

Yet another advantage of using authorization interfaces is that authorization code can be supplied separately from the substantive computer code of a particular program module. For example, one entity can provide authorization provider 148A and authorization interface 149A as object code to be linked into component 104A by a second, separate entity. Thus, the first-mentioned entity can provide the public key infrastructure of authorization provider 148A without disclosing the specific details of the public key infrastructure, thus preserving the security provided by the public key infrastructure. Simultaneously, the second entity can construct authorization verifier 147A to request certificates and challenge authorization of requesting program modules using authorization interfaces of those program modules without requiring knowledge of the specific details of the public key infrastructure. Such allows the security protocol described herein without disclosing the specific details to those who use the security protocol.

The above description is illustrative only and is not limiting. Instead, the present invention is defined solely by the following claims.

What is Claimed is:

1. A method for authorizing requested processing by an adjunct program module, the method comprising:
  - receiving a request from a requesting module;
  - receiving a certificate from the requesting module;
  - determining whether the certificate authorizes processing in response to the request; and
  - processing according to programming of the adjunct program module in response to the request upon a condition in which the certificate authorizes processing in response to the request.
2. The method of Claim 1 wherein determining comprises:
  - verifying a signature of the certificate by a certificate authority.
3. The method of Claim 1 wherein determining comprises:
  - determining that the requesting module owns the certificate.
4. The method of Claim 3 wherein determining that the requesting module owns the certificate comprises:
  - sending test data to the requesting module; and
  - receiving response data from the requesting module wherein the response data is derived from the test data in a manner which requires ownership of the certificate.
5. The method of Claim 4 wherein the response data is derived from the test data in a manner which requires access to a private key which is associated with the certificate.
6. The method of Claim 4 wherein the response data includes a cryptographic signature of the test data.

7. The method of Claim 4 wherein the test data is encrypted according to the certificate.

8. The method of Claim 7 wherein the test data is encrypted using a public key of the certificate.

9. The method of Claim 7 wherein the response data is decrypted from the test data.

10. The method of Claim 4 wherein determining further comprises: generating the test data randomly.

11. The method of Claim 1 wherein determining comprises: determining that the certificate includes data specifying one or more types of actions permitted by the certificate; and determining that the one or more types of actions includes at least one type of action associated with processing to be performed in response to the request

12. The method of Claim 1 wherein the adjunct program module is a module in a dynamic link library.

13. A method for authorizing requested processing by an adjunct program module, the method comprising:

receiving a request from a requesting module;  
receiving an authorization interface from the requesting module;  
requesting authorization from the requesting module according to the authorization interface;  
receiving authorization data in response to the requesting authorization;  
determining whether the authorization data authorizes processing in response to the request; and  
processing according to programming of the adjunct program module in response to the request upon a condition in which the certificate authorizes

processing in response to the request.

14. The method of Claim 13 wherein the authorization data includes a certificate.
15. The method of Claim 14 wherein determining comprises: verifying a signature of the certificate by a certificate authority.
16. The method of Claim 14 wherein determining comprises: determining that the requesting module owns the certificate.
17. The method of Claim 13 wherein requesting authorization comprises: sending test data to the requesting module; and further wherein the authorization data includes response data wherein the response data is derived from the test data in a manner which requires ownership of the certificate.
18. The method of Claim 17 wherein the response data is derived from the test data in a manner which requires access to a private key which is associated with the certificate.
19. The method of Claim 17 wherein the response data includes a cryptographic signature of the test data.
20. The method of Claim 17 wherein the test data is encrypted according to the certificate.
21. The method of Claim 20 wherein the test data is encrypted using a public key of the certificate.
22. The method of Claim 20 wherein the response data is decrypted from the test data.

23. The method of Claim 17 wherein sending test data further comprises: generating the test data randomly.
24. The method of Claim 13 wherein determining comprises: determining that the authorization data includes data specifying one or more types of actions permitted by the certificate; and determining that the one or more types of actions includes at least one type of action associated with processing to be performed in response to the request.
25. The method of Claim 13 wherein the adjunct program module is a module in a dynamic link library.
26. A computer readable medium useful in association with a computer which includes a processor and a memory, the computer readable medium including computer instructions which are configured to cause the computer to authorize requested processing by an adjunct program module by:
  - receiving a request from a requesting module;
  - receiving a certificate from the requesting module;
  - determining whether the certificate authorizes processing in response to the request; and
  - processing according to programming of the adjunct program module in response to the request upon a condition in which the certificate authorizes processing in response to the request.
27. The computer readable medium of Claim 26 wherein determining comprises:
  - verifying a signature of the certificate by a certificate authority.
28. The computer readable medium of Claim 26 wherein determining comprises:
  - determining that the requesting module owns the certificate.

29. The computer readable medium of Claim 28 wherein determining that the requesting module owns the certificate comprises:

    sending test data to the requesting module; and

    receiving response data from the requesting module wherein the response data is derived from the test data in a manner which requires ownership of the certificate.

30. The computer readable medium of Claim 29 wherein the response data is derived from the test data in a manner which requires access to a private key which is associated with the certificate.

31. The computer readable medium of Claim 29 wherein the response data includes a cryptographic signature of the test data.

32. The computer readable medium of Claim 29 wherein the test data is encrypted according to the certificate.

33. The computer readable medium of Claim 32 wherein the test data is encrypted using a public key of the certificate.

34. The computer readable medium of Claim 32 wherein the response data is decrypted from the test data.

35. The computer readable medium of Claim 29 wherein determining further comprises:

    generating the test data randomly.

36. The computer readable medium of Claim 26 wherein determining comprises:

    determining that the certificate includes data specifying one or more types of actions permitted by the certificate; and

    determining that the one or more types of actions includes at least one type

of action associated with processing to be performed in response to the request.

37. The computer readable medium of Claim 26 wherein the adjunct program module is a module in a dynamic link library.

38. A computer readable medium useful in association with a computer which includes a processor and a memory, the computer readable medium including computer instructions which are configured to cause the computer to authorize requested processing by an adjunct program module by:

- receiving a request from a requesting module;
- receiving an authorization interface from the requesting module;
- requesting authorization from the requesting module according to the authorization interface;
- receiving authorization data in response to the requesting authorization;
- determining whether the authorization data authorizes processing in response to the request; and
- processing according to programming of the adjunct program module in response to the request upon a condition in which the certificate authorizes processing in response to the request.

39. The computer readable medium of Claim 38 wherein the authorization data includes a certificate.

40. The computer readable medium of Claim 39 wherein determining comprises:

- verifying a signature of the certificate by a certificate authority.

41. The computer readable medium of Claim 39 wherein determining comprises:

- determining that the requesting module owns the certificate.

42. The computer readable medium of Claim 38 wherein requesting

authorization comprises:

    sending test data to the requesting module; and  
    further wherein the authorization data includes response data wherein the response data is derived from the test data in a manner which requires ownership of the certificate.

43. The computer readable medium of Claim 42 wherein the response data is derived from the test data in a manner which requires access to a private key which is associated with the certificate.

44. The computer readable medium of Claim 42 wherein the response data includes a cryptographic signature of the test data.

45. The computer readable medium of Claim 42 wherein the test data is encrypted according to the certificate.

46. The computer readable medium of Claim 45 wherein the test data is encrypted using a public key of the certificate.

47. The computer readable medium of Claim 45 wherein the response data is decrypted from the test data.

48. The computer readable medium of Claim 42 wherein sending test data further comprises:

    generating the test data randomly.

49. The computer readable medium of Claim 38 wherein determining comprises:

    determining that the authorization data includes data specifying one or more types of actions permitted by the certificate; and

    determining that the one or more types of actions includes at least one type of action associated with processing to be performed in response to the request.

50. The computer readable medium of Claim 38 wherein the adjunct program module is a module in a dynamic link library.

51. A computer system comprising:

- a processor;
- a memory operatively coupled to the processor; and
- a processing authorization module (i) which executes in the processor from the memory and (ii) which, when executed by the processor, causes the computer to authorize requested processing by an adjunct program module by:
  - receiving a request from a requesting module;
  - receiving a certificate from the requesting module;
  - determining whether the certificate authorizes processing in response to the request; and
  - processing according to programming of the adjunct program module in response to the request upon a condition in which the certificate authorizes processing in response to the request.

52. The computer system of Claim 51 wherein determining comprises:  
verifying a signature of the certificate by a certificate authority.

53. The computer system of Claim 51 wherein determining comprises:  
determining that the requesting module owns the certificate.

54. The computer system of Claim 53 wherein determining that the requesting module owns the certificate comprises:

- sending test data to the requesting module; and
- receiving response data from the requesting module wherein the response data is derived from the test data in a manner which requires ownership of the certificate.

55. The computer system of Claim 54 wherein the response data is derived

from the test data in a manner which requires access to a private key which is associated with the certificate.

56. The computer system of Claim 54 wherein the response data includes a cryptographic signature of the test data.

57. The computer system of Claim 54 wherein the test data is encrypted according to the certificate.

58. The computer system of Claim 57 wherein the test data is encrypted using a public key of the certificate.

59. The computer system of Claim 57 wherein the response data is decrypted from the test data.

60. The computer system of Claim 54 wherein determining further comprises: generating the test data randomly.

61. The computer system of Claim 51 wherein determining comprises: determining that the certificate includes data specifying one or more types of actions permitted by the certificate; and determining that the one or more types of actions includes at least one type of action associated with processing to be performed in response to the request.

62. The computer system of Claim 51 wherein the adjunct program module is a module in a dynamic link library.

63. A computer system comprising:  
a processor;  
a memory operatively coupled to the processor; and  
a processing authorization module (i) which executes in the processor from the memory and (ii) which, when executed by the processor, causes the computer

to authorize requested processing by an adjunct program module by:

receiving a request from a requesting module;

receiving an authorization interface from the requesting module;

requesting authorization from the requesting module according to the authorization interface;

receiving authorization data in response to the requesting authorization;

determining whether the authorization data authorizes processing in response to the request; and

processing according to programming of the adjunct program module in response to the request upon a condition in which the certificate authorizes processing in response to the request.

64. The computer system of Claim 63 wherein the authorization data includes a certificate.
65. The computer system of Claim 64 wherein determining comprises: verifying a signature of the certificate by a certificate authority.
66. The computer system of Claim 64 wherein determining comprises: determining that the requesting module owns the certificate.
67. The computer system of Claim 63 wherein requesting authorization comprises:
  - sending test data to the requesting module; and
  - further wherein the authorization data includes response data wherein the response data is derived from the test data in a manner which requires ownership of the certificate.
68. The computer system of Claim 67 wherein the response data is derived from the test data in a manner which requires access to a private key which is associated with the certificate.

69. The computer system of Claim 67 wherein the response data includes a cryptographic signature of the test data.

70. The computer system of Claim 67 wherein the test data is encrypted according to the certificate.

71. The computer system of Claim 70 wherein the test data is encrypted using a public key of the certificate.

72. The computer system of Claim 70 wherein the response data is decrypted from the test data.

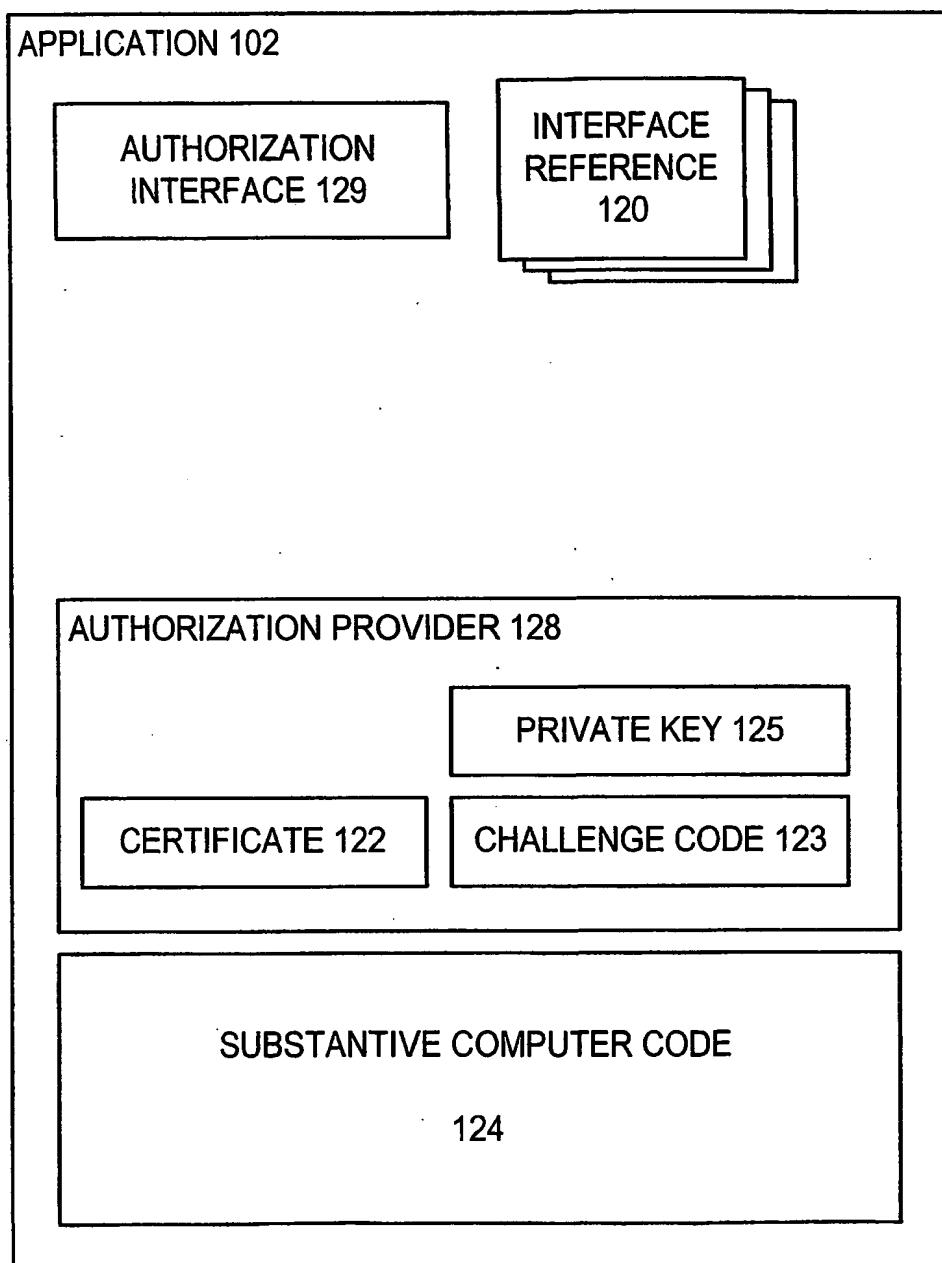
73. The computer system of Claim 67 wherein sending test data further comprises:

generating the test data randomly.

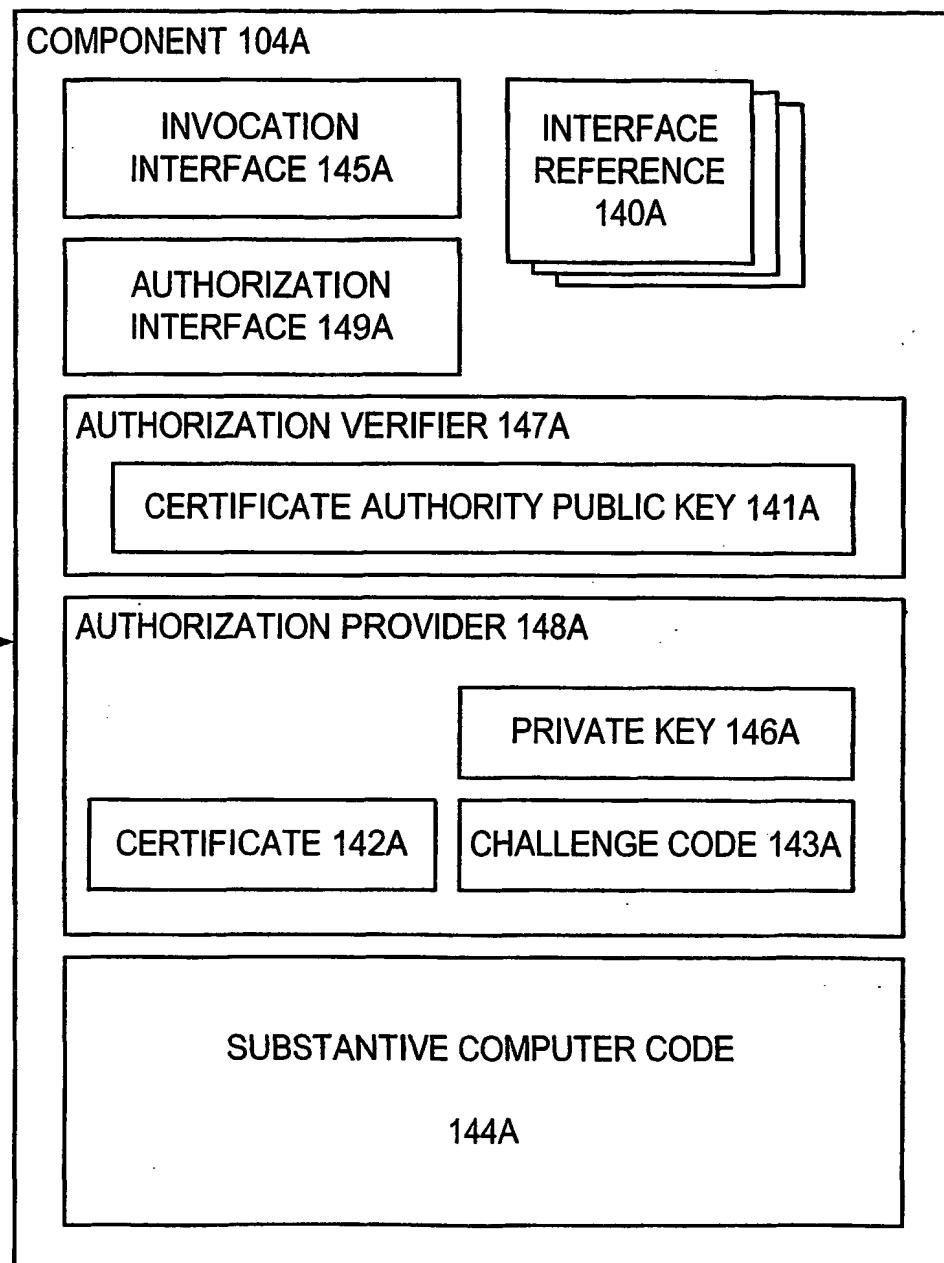
74. The computer system of Claim 63 wherein determining comprises:  
determining that the authorization data includes data specifying one or more types of actions permitted by the certificate; and  
determining that the one or more types of actions includes at least one type of action associated with processing to be performed in response to the request.

75. The computer system of Claim 63 wherein the adjunct program module is a module in a dynamic link library.

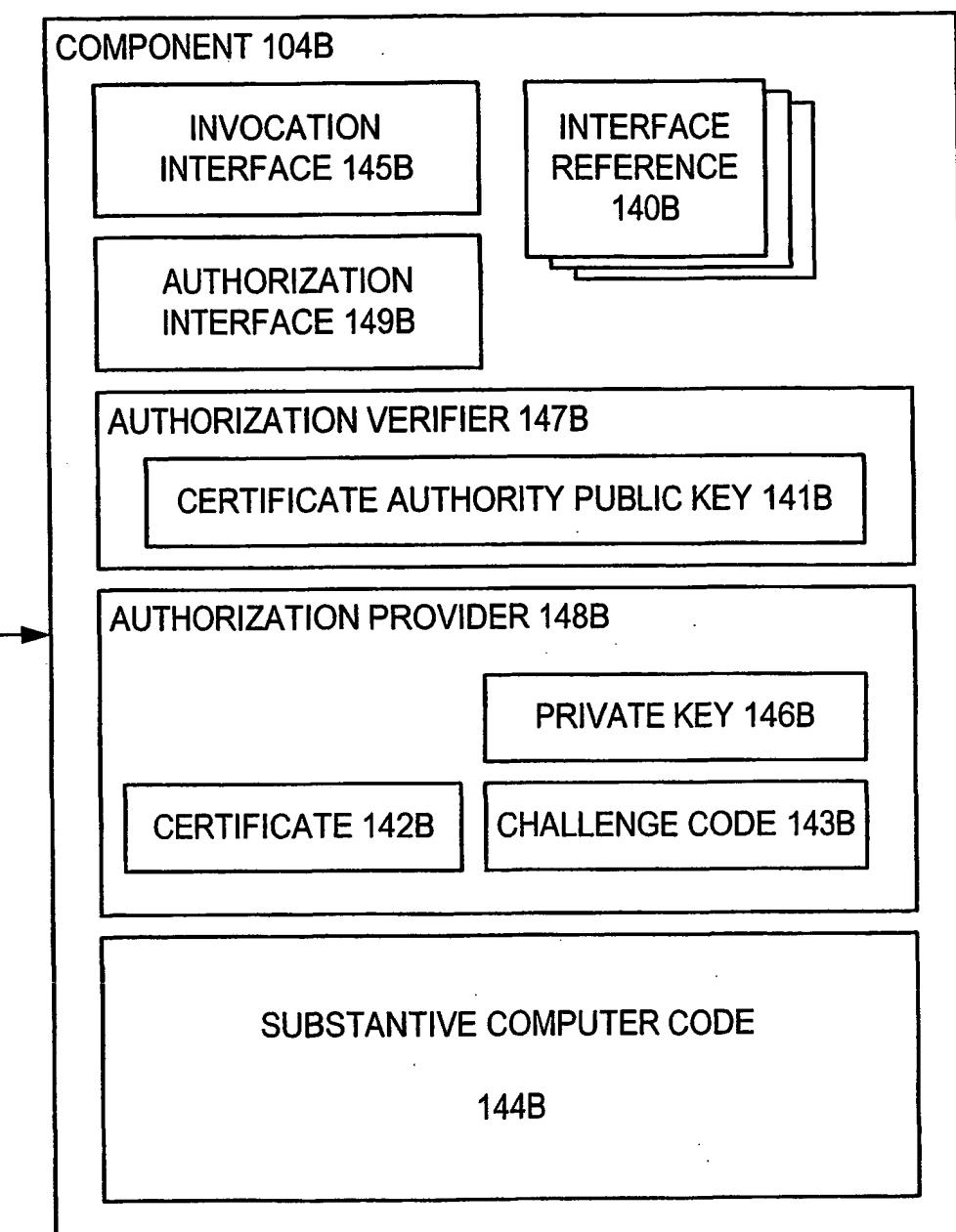
1/11

**FIGURE 1A**

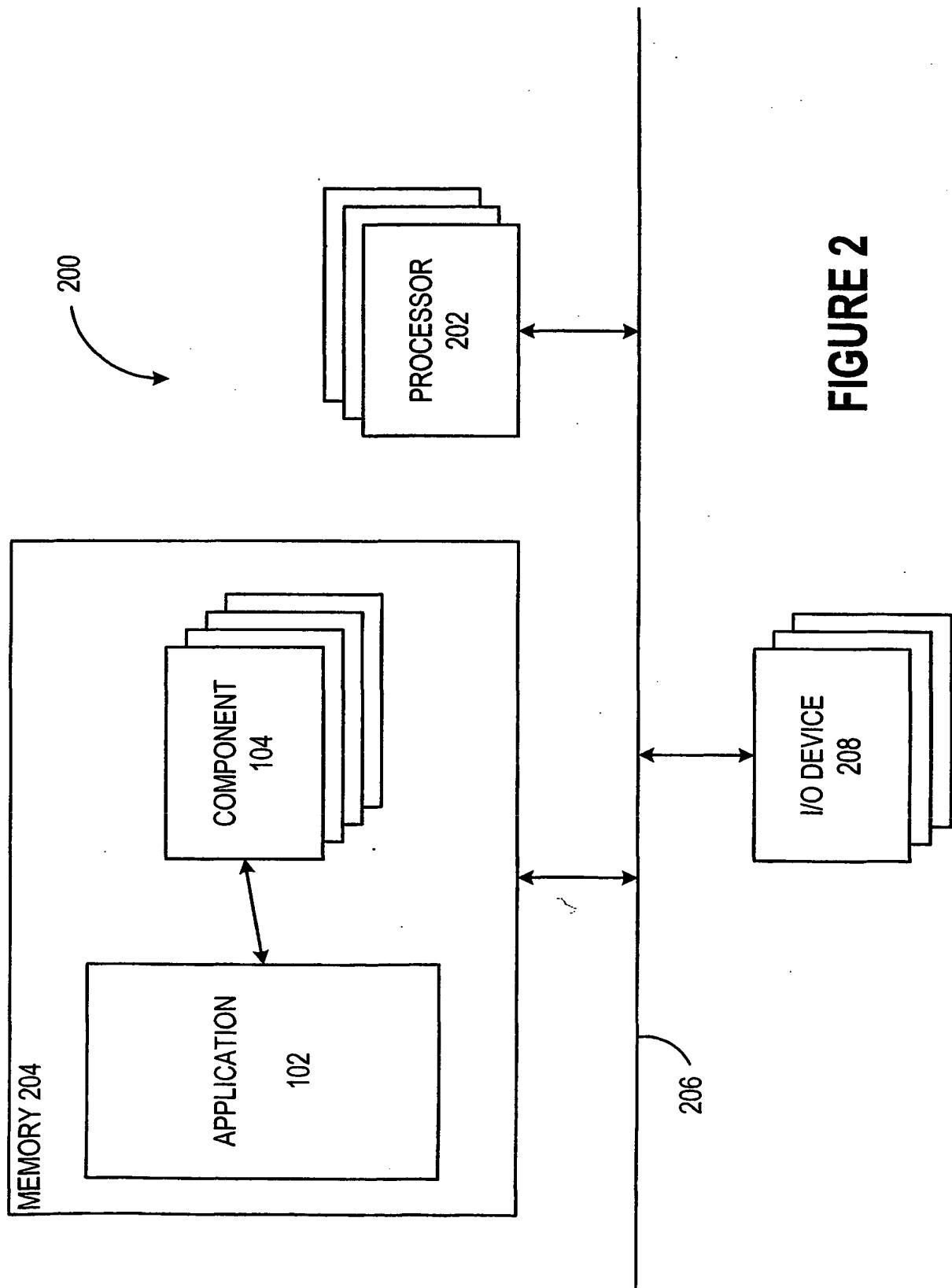
2/11

**FIGURE 1B**

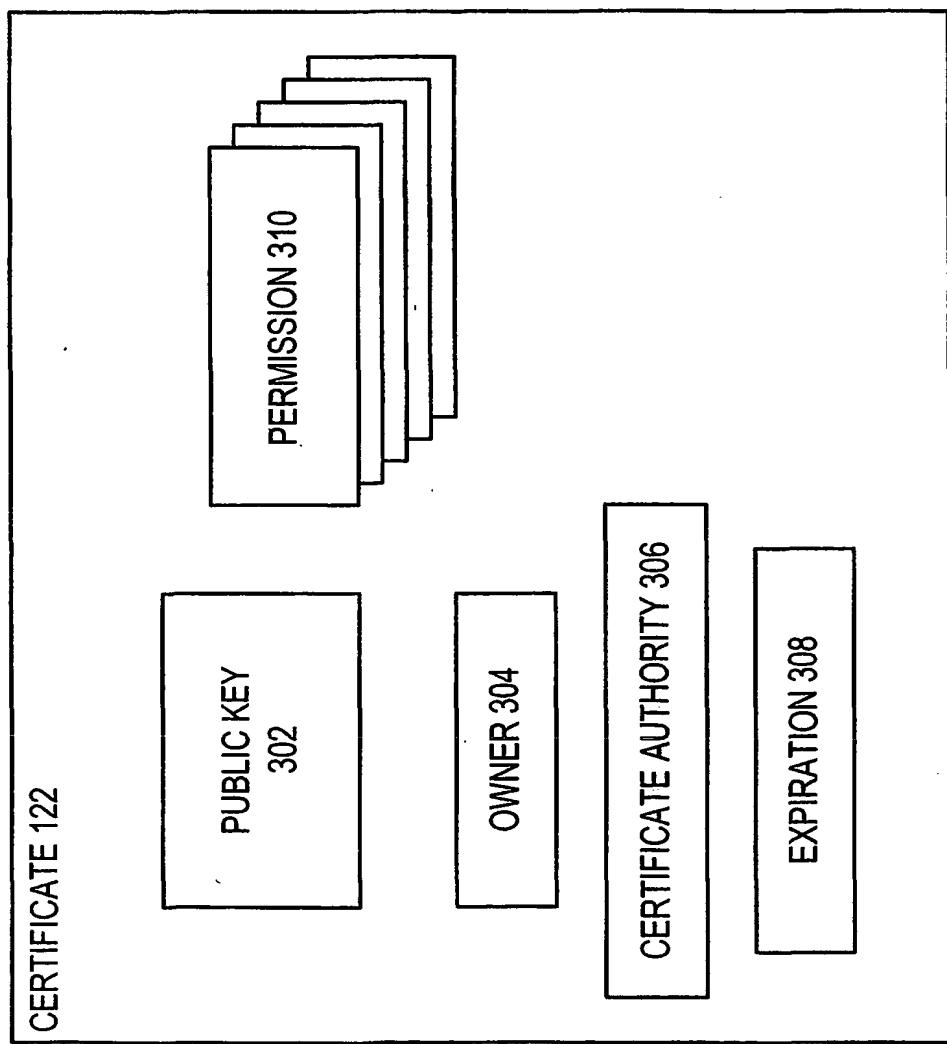
3/11

**FIGURE 1C****FIGURE  
1A****FIGURE  
1B****FIGURE  
1C****FIGURE 1**

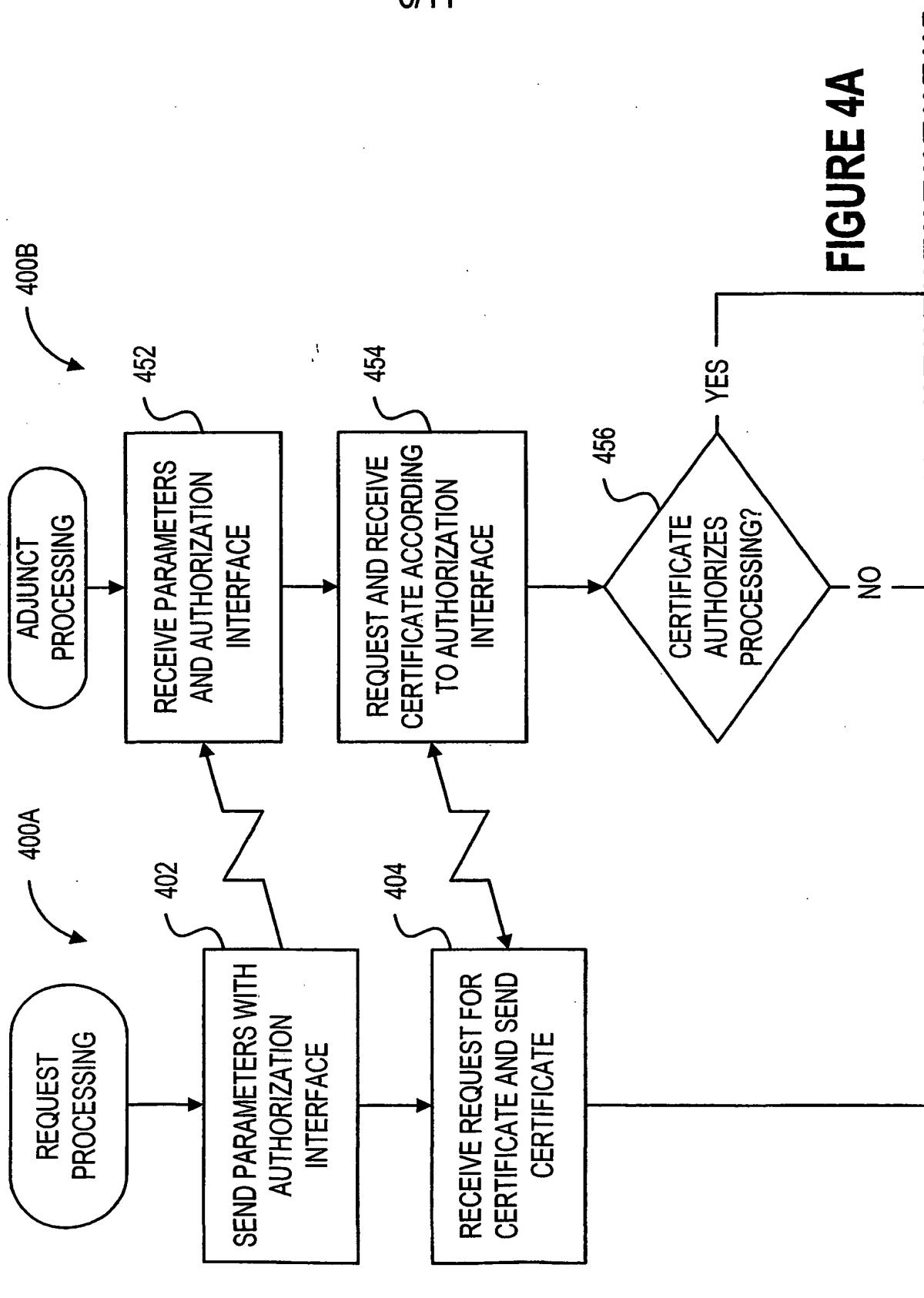
4/11



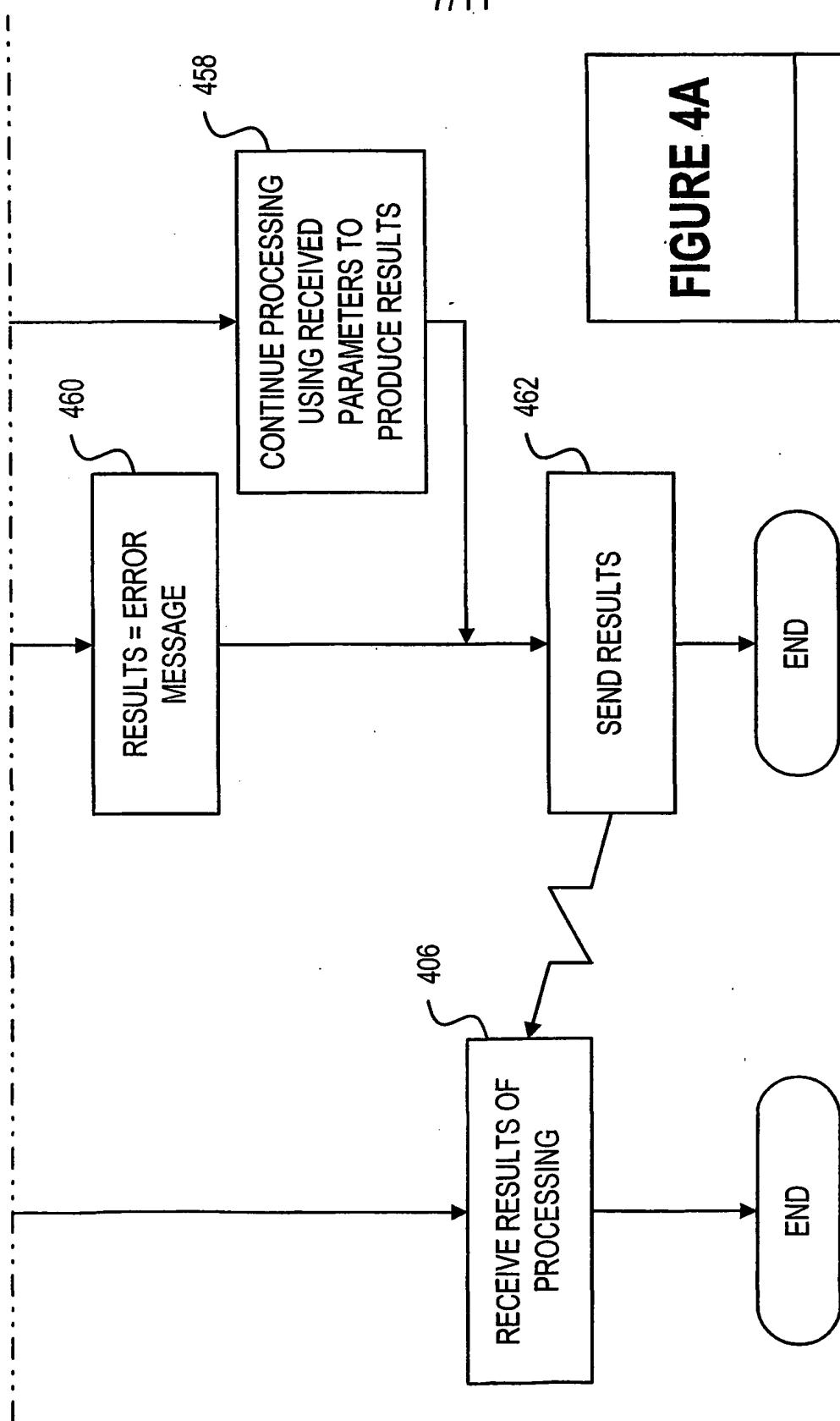
5/11

**FIGURE 3**

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**FIGURE 4A**

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**FIGURE 4A****FIGURE 4B****FIGURE 4****FIGURE 4B**

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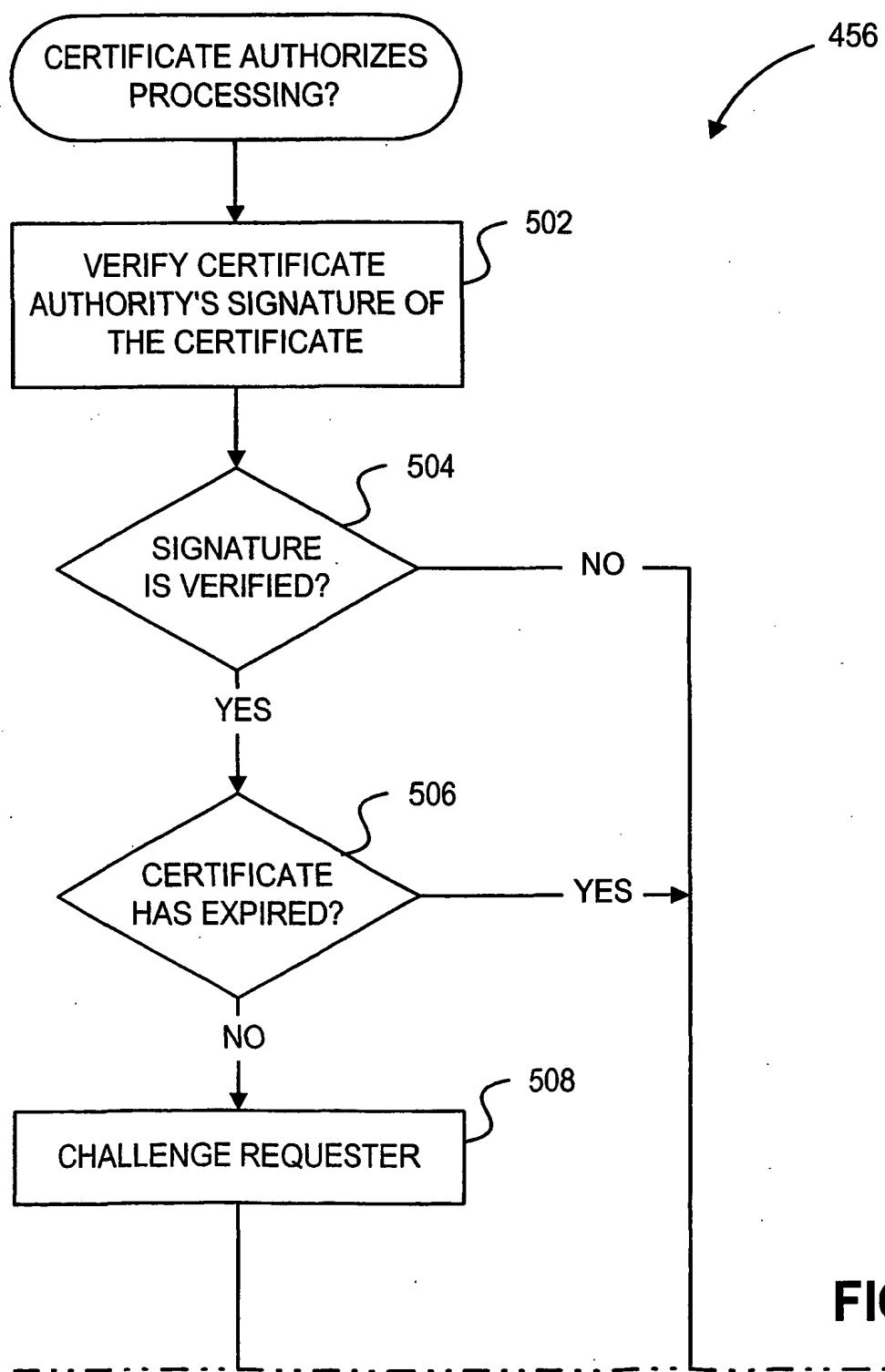
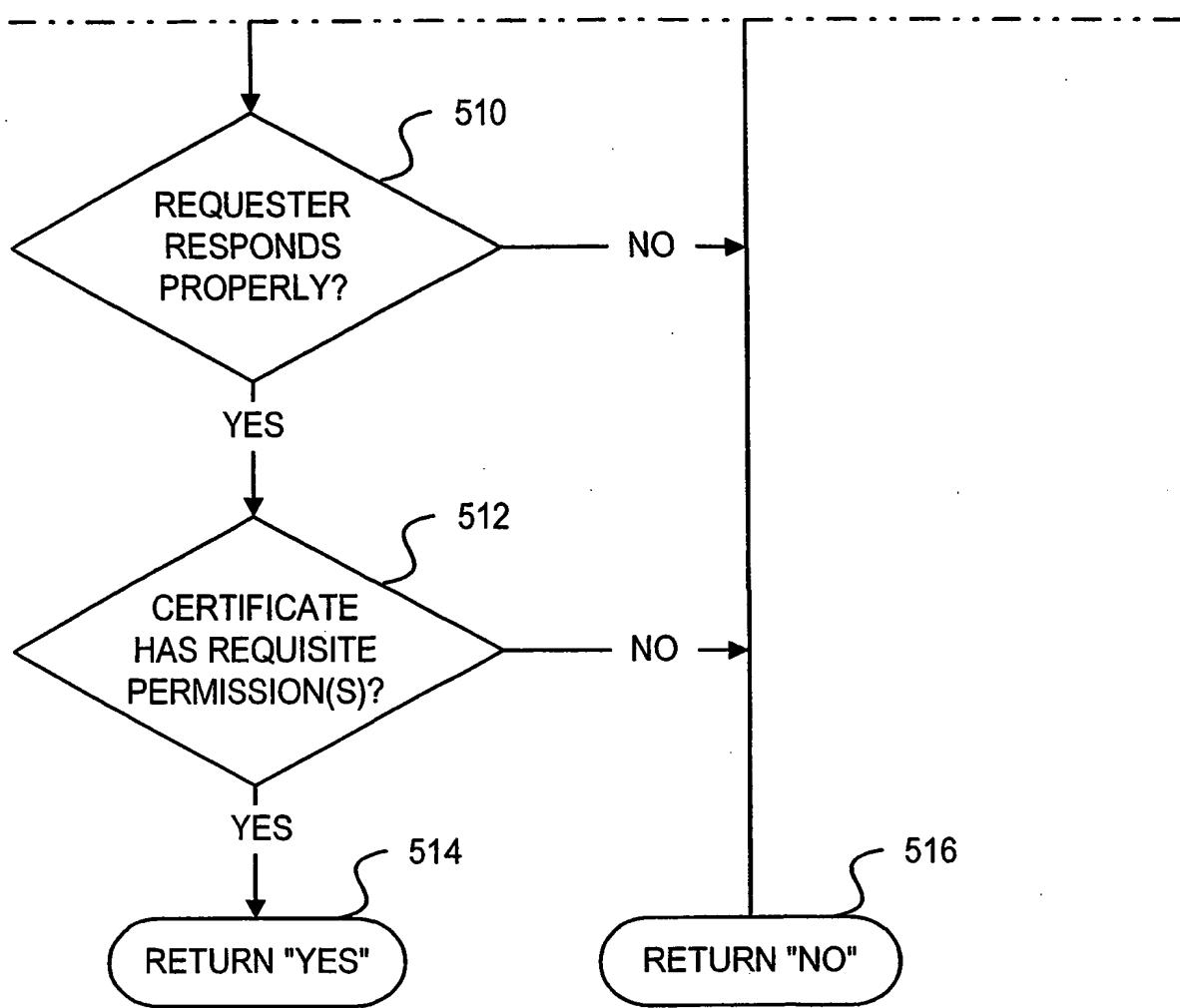
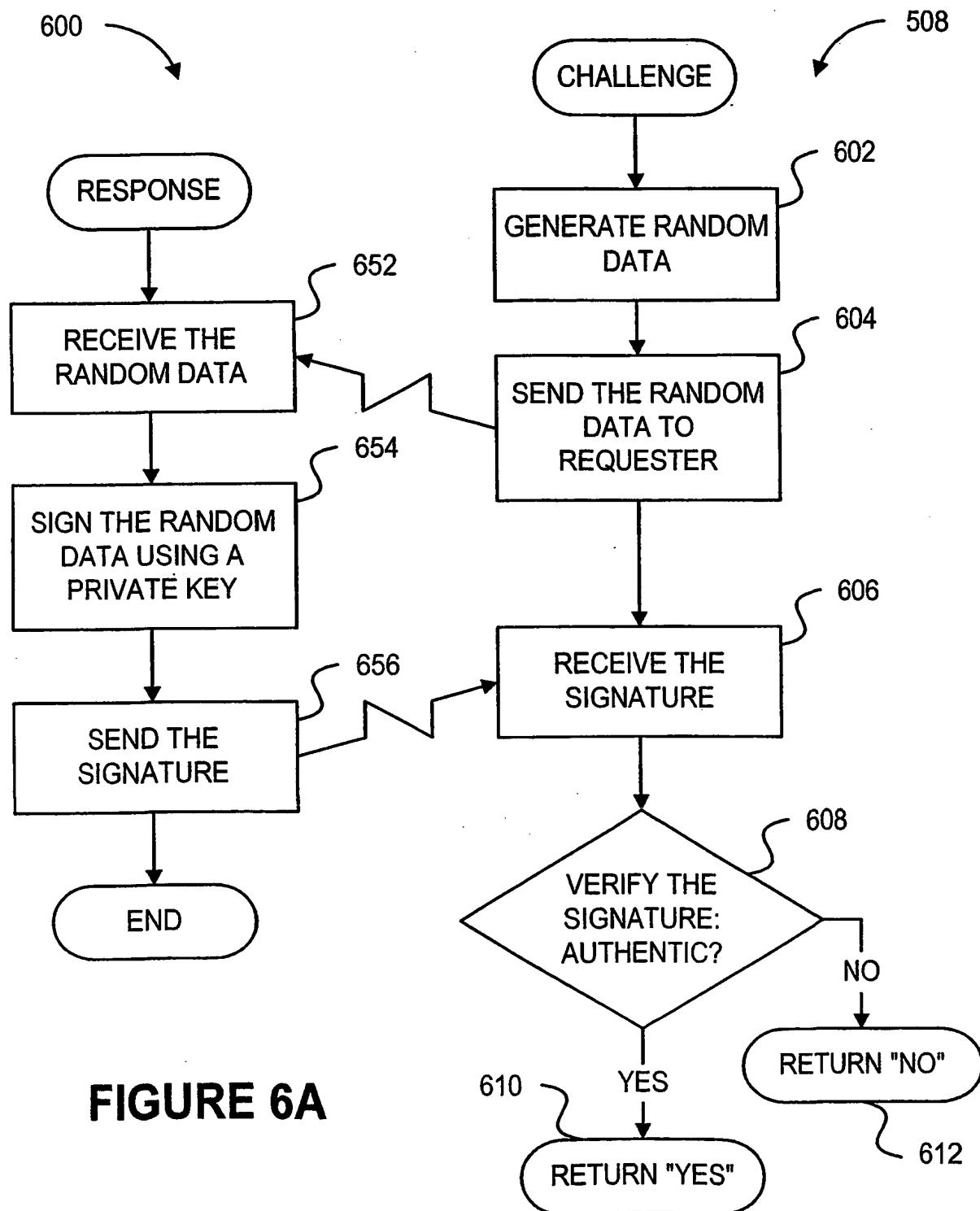


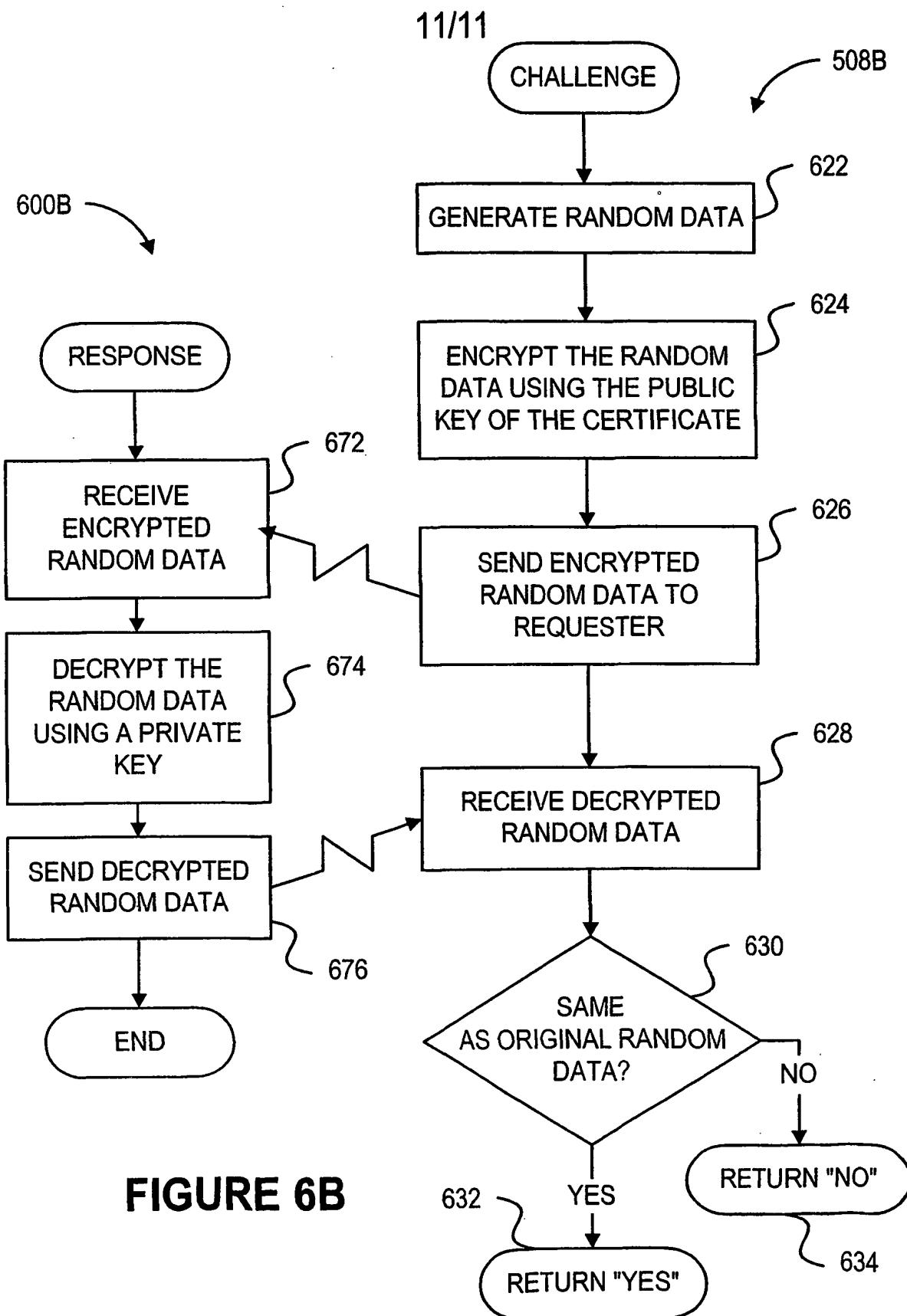
FIGURE 5A

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**FIGURE 5B****FIGURE  
5A****FIGURE  
5B****FIGURE 5**

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**FIGURE 6A**

**FIGURE 6B**

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(71) Applicant: LIQUID AUDIO, INC. [US/US]; 800 Chesapeake Drive, Redwood City, CA 94063 (US).

(72) Inventors: BROWNELL, Jason, S.; 740 Anderson Street, San Francisco, CA 94110 (US). ANSELL, Steven, T.; 302 Umeca Place, Fremont, CA 94539 (US). DEVINE, Perry, T.; 01212 Winchuck River Road, Brookings, OR 97415 (US). LEVINE, Earl; 1263 College Avenue, Palo Alto, CA 94306 (US).

(74) Agent: IVEY, James, D.; Law Offices of James D. Ivey, 3025 Totterell Street, Oakland, CA 94611-1742 (US).

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WO 02/061557 A3

(54) Title: SECURITY MECHANISM FOR COMPUTER PROCESSING MODULES

(57) **Abstract:** To provide improved security in adjunct program modules such as plug-ins and dynamic link libraries, a requesting module provides an authorization interface to the invoked module such that the invoked module can require a certificate of the requesting module and can also challenge the authority of the requesting module. The certificate can include one or more permissions which are prerequisites for processing by the invoked module. The invoked module can challenge the authority of the requesting module by sending random test data to the requesting module and receiving in response a cryptographic signature of the test data. By verifying the signature of the requesting module using the received certificate, the invoked module confirms that the requesting module is, in fact, the owner of the receive certificate.

## INTERNATIONAL SEARCH REPORT

Internat Application No

PCT/US 02/01746

## A. CLASSIFICATION OF SUBJECT MATTER

IPC 7 G06F1/00

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 G06F H04L

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	<p>LINN J ET AL: "ATTRIBUTE CERTIFICATION: AN ENABLING TECHNOLOGY FOR DELEGATION AND ROLE-BASED CONTROLS IN DISTRIBUTED ENVIRONMENTS" PROCEEDINGS 4TH. ACM WORKSHOP ON ROLE-BASED ACCESS CONTROL. FAIRFAX, VA, OCT. 28 - 29, 1999, ACM ROLE-BASED ACCESS CONTROL WORKSHOP, NEW YORK, NY: ACM, US, 28 October 1999 (1999-10-28), pages 121-130, XP000958110 ISBN: 1-58113-180-1</p>	1,2, 11-15, 24-27, 36-40, 49-52, 61-65, 74,75
Y	<p>page 121, paragraph 2 -page 122  page 125, paragraph 4.1 -page 127,  -/-</p>	3-10, 16-23, 28-35, 41-48, 53-60, 66-73

 Further documents are listed in the continuation of box C. Patent family members are listed in annex.

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Date of the actual completion of the international search

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NL - 2280 HV Rijswijk  
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Fax (+31-70) 340-3016

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## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	<p>paragraph 4.2</p> <p>WO 98 07255 A (INFORMATION RESOURCE ENGINEERI) 19 February 1998 (1998-02-19)</p> <p>page 3, line 7 - line 23 page 5, line 15 - line 18 page 9, line 1 - line 19 page 10, line 7 - line 16 page 19, line 1 -page 20, line 22 page 22, line 14 -page 24, line 23 page 29, line 10 - line 23 figures 5A,5B,6,7</p>	3-10, 16-23, 28-35, 41-48, 53-60, 66-73
A	<p>HOUSLEY R ET AL: "Internet X.509 Public Key Infrastructure certificate and CRL PROFILE" NETWORK WORKING GROUP REQUEST FOR COMMENTS, January 1999 (1999-01), XP002227696 Retrieved from the Internet: &lt;URL:ftp://ftp.rfc-editor.org/in-notes/rfc 2459.txt&gt; 'retrieved on 2003-01-23' page 9, paragraph 3.1 page 29, paragraph 4.2.1.5 -page 31</p>	1-75
A	<p>PARK J S SANDHU R: "Smart certificates: extending X.509 for secure attribute services on the web" NATIONAL INFORMATION SYSTEMS SECURITY CONFERENCE, XX, XX, no. 22ND, pages 337-348, XP002954616 page 338, paragraph 2.1 -page 339, paragraph 2.2 page 340, paragraph 3.1 -page 341</p>	1-75

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Internat Application No

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Form PCT/ISA/210 (patent family annex) (July 1992)